

# CLEARING WORKSTATION 2

## USER MANUAL



**NASDAQ OMX®**

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# 1 INTRODUCTION CLEARING WORKSTATION 2

## 1.1 How to access Clearing Workstation 2

Clearing Workstation 2 is a web based application. Open Internet Explorer and write the given address for access. These are the requirement you need to get started.

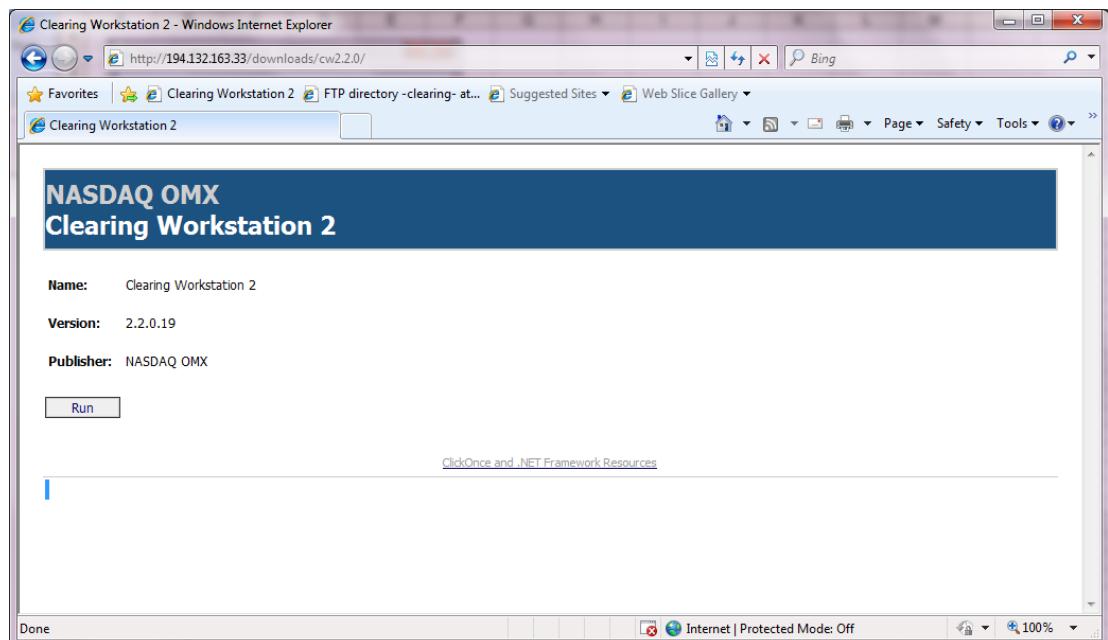
### Hardware

- Intel 1.0 GHz processor or faster
- 1Gb of memory
- 500Mb unused disc space
- Minimum screen resolution 1024 x 768

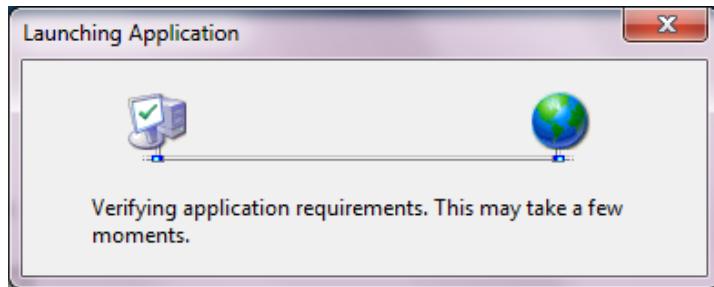
### Software

- Microsoft Windows XP (service pack 2)
- Microsoft Windows Vista
- Microsoft Windows 7
- Microsoft .NET Framework 4

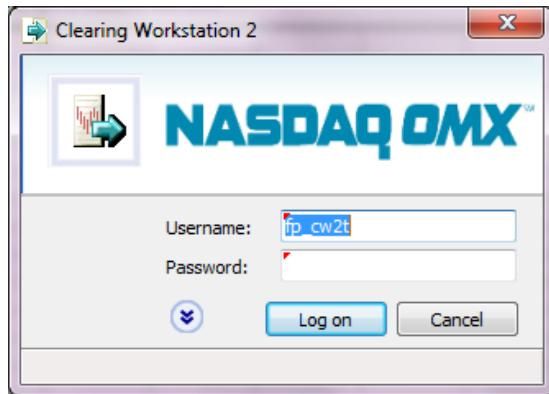
The minimum hardware and software requirements for any future version or release of the Software may be different from the minimum requirements for the current version or release.



Press the Run button and the following window will open. The CW2 application will be downloaded to your computer.



Enter valid Username and Password and Log on.



A Security Warning will appear, press continue to accept and open the Clearing Workstation 2.



When it is accepted and installed you will see the Clearing Workstation 2 grid.



## 1.2 User types in Clearing Workstation 2

There are different versions and user types of the Clearing Workstation 2:

- Broker User
- Full User
- Read only User
- Administration User

### 1.2.1 Broker/Trader User

The Broker User version is designed for trading desk Brokers/Traders and has the following setup:

- Reporting of trades
- Give-up functionality
- Trade history
- Account position

### 1.2.2 Full User

The Full User version is designed for Back Office personnel and has the following setup:

- Account
- Account position
- Reporting of trades
- Give-up functionality
- Trade history
- Exercise request/Pending Exercise
- Clearing information
- Margin Simulation
- Fixing values
- Transfer of trades
- Reports

### **1.2.3 Read only User**

The Read User version is designed for local branch offices and Institutional investors:

- Account
- Account position
- Trade history
- Pending Exercise
- Clearing information
- Margin Simulation
- Fixing values
- Reports

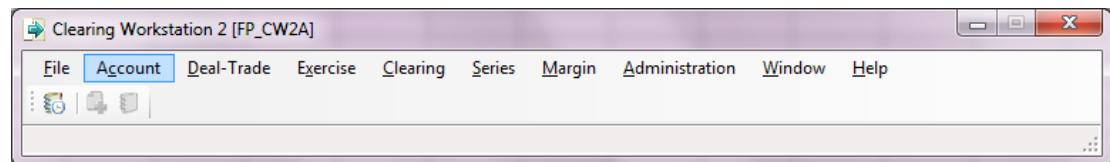
### **1.2.4 Administration User**

The Administration User version is designed for administrate user accounts:

- Account
- Account position
- Trade history
- Pending Exercise
- Clearing information
- Margin Simulation
- Fixing values
- Reports
- Administration tools

# 2 CLEARING WORKSTATION 2 FUNCTIONS

## 2.1 Account



Under the menu Accounts you will find two different options;

- Accounts
- Positions

### 2.1.1 Accounts

**Account:** Enter account information. Asterisks can be used as wildcards.

**States:** Choose type of state for account to be displayed.

Press search.

The result of the search will be displayed in the window.

## 2.1.2 Positions

Positions will provide an overview of the account's positions.

**Account:** Enter account information. Asterisks can be used as wildcards. Press search.

**Series:** Enter the series. Leave \* for all series on the specified account.

**Aggregate on series:** Check this box for listing of one position item per series.

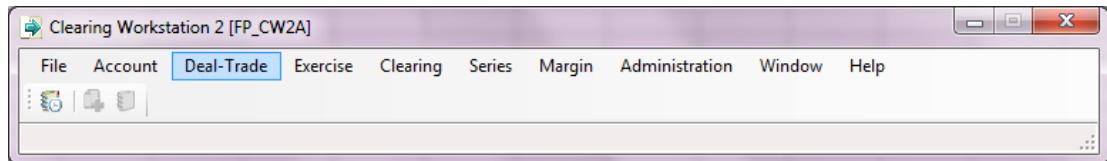
Click Search.

The result of the search will be displayed in the window.

Positions [FP_CW2T]									
Account	Series	Long	Short	Net	Contract Size	ISIN	Delivery Start	Modified	
***	*								<input type="checkbox"/> Aggregate on series
Date	CTD								
SE FP 103	ERICB1T	0	50	-50	100	SE0003923010		2011-05-24 15:04:11	
SE FP 103	HMB1R	0	100	-100	100	SE000352947		2011-05-24 14:57:47	
SE FP 103	ERICB1585	200	0	200	100	SE0003878537		2011-05-26 14:44:51	
SE FP 103	ERICB115G80E	300	0	300	100	SE0003954213		2011-05-26 14:54:26	
SE FP 201327	ERICB1T	0	15	-15	100	SE0003923010		2011-05-24 15:04:11	
SE FP 201988	ERICB1S85	0	100	-100	100	SE0003878537		2011-05-26 14:44:51	
SE FP 468058	ABB1F	10	0	10	100	SE0003347665		2011-05-19 10:58:19	
SE FP DK	OMXS301F1100	0	0	0	100	SE0003606375		2011-05-26 16:04:43	
SE FP DK	OMXS301Q1120	0	0	0	100	SE0003745645		2011-05-16 16:06:34	
SE FP DK	OMXS301R1080	0	0	0	100	SE0003367341		2011-05-26 16:04:41	
SE FP DK	OMXS301E	0	0	0	100	SE0003745090		2011-05-16 16:10:02	
SE FP DK	OMXS301F	0	0	0	100	SE0003367101		2011-06-09 13:22:06	
SE FP DK	SAND1Q	0	0	0	100	SE0003783521		2011-05-20 16:25:41	
SE FP DK	ABB1R	0	0	0	100	SE0003347749		2011-05-26 10:31:58	
SE FP DK	SHBA1R	0	0	0	100	SE0003370238		2011-05-24 16:09:26	
SE FP DK	SKFB1Q	0	0	0	100	SE0003791326		2011-05-18 16:10:06	
SE FP DK	ERICB1T	0	0	0	100	SE0003923010		2011-05-24 16:09:26	
SE FP DK	ERICB1Q	0	0	0	100	SE0003770536		2011-05-20 16:25:41	
SE FP DK	HMB1R	0	0	0	100	SE0003552947		2011-05-24 16:09:26	
SE FP DK	ATCOA1QX	0	0	0	100	SE0210812808		2011-05-16 16:04:10	
SE FP DK	SAND1E90	0	0	0	100	SE0003806348		2011-05-20 16:25:36	
SE FP DK	ABB1E145	0	0	0	100	SE0003766492		2011-05-18 16:10:07	
SE FP DK	ABB1E140	0	0	0	100	SE0003766484		2011-05-18 16:10:07	
SE FP DK	SHBA1F170	0	0	0	100	SE0003370188		2011-05-24 16:09:25	
SE FP DK	SKFB1E150	0	0	0	100	SE0003791243		2011-05-18 16:10:07	
SE FP DK	ERICB1E85	0	0	0	100	SE0003770502		2011-05-20 16:25:36	
SE FP DK	ERICB1E80	0	0	0	100	SE0003770494		2011-05-20 16:25:36	
SE FP DK	ERICB1E65	0	0	0	100	SE0003770452		2011-05-20 16:25:36	
SE FP DK	HMB1F190	0	0	0	100	SE0003352889		2011-05-24 16:09:25	
SE FP DK	ATCOA1E155_32X	0	0	0	100	SE0210810497		2011-05-16 16:04:08	
SE FP DK	ERICB1S85	0	0	0	100	SE0003878537		2011-05-26 16:04:31	
SE FP DK	FRA11X	0	0	0	1	SE0002666347		2011-05-20 16:25:49	
SE FP DK	OMXC201F	0	0	0	100	SE0003487917		2011-06-09 13:18:38	
SE FP IK	OMXS301L1120	200	200	0	100	SE0003637693		2011-03-14 14:15:26	
SE FP IK	OMXS301F1120	1 000	0	1 000	100	SE0003367143		2011-05-10 15:48:08	
SE FP IK	OMXS301F1000	56	0	56	100	SE0003367119		2011-04-15 17:02:52	
SE FP IK	OMXS301F1100	0	50	-50	100	SE0003606375		2011-05-26 16:04:43	
SE FP IK	OMXS301G1160	0	101	-101	100	SE0003887975		2011-05-23 16:11:03	
SE FP IK	OMXS301G1000	0	10	-10	100	SE0210780153		2011-04-28 16:00:36	

Number of items: 317

## 2.2 Deal-Trade



Under the menu Deal-Trade you will find these different options:

- Trades
- Holding DC Trades
- Trade Reporting
- Holding Deal
- Holding Give up
- Holding Rectify Trades

### 2.2.1 Trades

Trades will provide the trade history of the account.

**Account:** Enter account information. Asterisks can be used as wildcards. Press search.

**Series:** Enter the series. Leave \* for all series for the specified account.

**From Date and To Date:** Choose From Date and To Date.

**Low price and High price:** Choose price interval.

**Type:** Choose which types of trades displayed.

Click Search

The result of the search will be displayed in the window.

A screenshot of the Trades [FP\_CW2T] search results window. The window has several search filters at the top: 'Account' (set to '\*\*'), 'Series' (set to '\*'), 'From Date' (set to '2011-06-06'), and 'To Date' (set to '2011-06-10'). Below the filters is a row of checkboxes for 'Low price', 'High price', 'Type' (with 'All' selected), and 'Holding Trades' (with 'No' selected). The main area is a table showing trade details. The columns are: Account, User, Series, Created, Quantity Left, Quantity, B/S, Effect, Trade Nbr, Price, O/C/N/D, and Modified. The table contains 8 rows of trade data. At the bottom of the table, it says 'Number of items: 8'.

From the Trades Window you can choose to make a Give Up or a Rectify Trade by select the Buy or Sell side you want to give up or rectify.

Select Participant ID to whom you wish to give up or rectify the trade to and specify the quantity.

Give Up Trades [FP\_CW2W]

	Account	Series	B/S	Quantity	Quantity Left	Price	Effect	Trade Nbr
▶	SF FP IK	VOLVB129FC	Buy	100	100	106,00	Open	5

	Account	Free Text	Quantity
▶	SE MPK		100

Participant/ Account  
SE MPK  
Quantity  
100  
Free text  
Split  
OK

Rectify Trade [FP\_CW2W]

	Account	Series	B/S	Quantity	Quantity Left	Price	Effect	Trade Nbr
▶	SE FP IK	DNBNON129F	Buy	100	100	76,00	Open	5

	Account	Quantity	O/C/N/D	Free Text
▶	SE FP 103	100	Default	

Account:  
SE FP 103  
Quantity:  
100  
O/C/N/D  
Default  
Free text:  
Split  
OK

## 2.2.2 Report Trade

In this window you can report standardized and OTC/TM trades. Standardized you find under Series and OTC/TM you enter under "Create Series...".

All boxes marked with a red flag are mandatory.

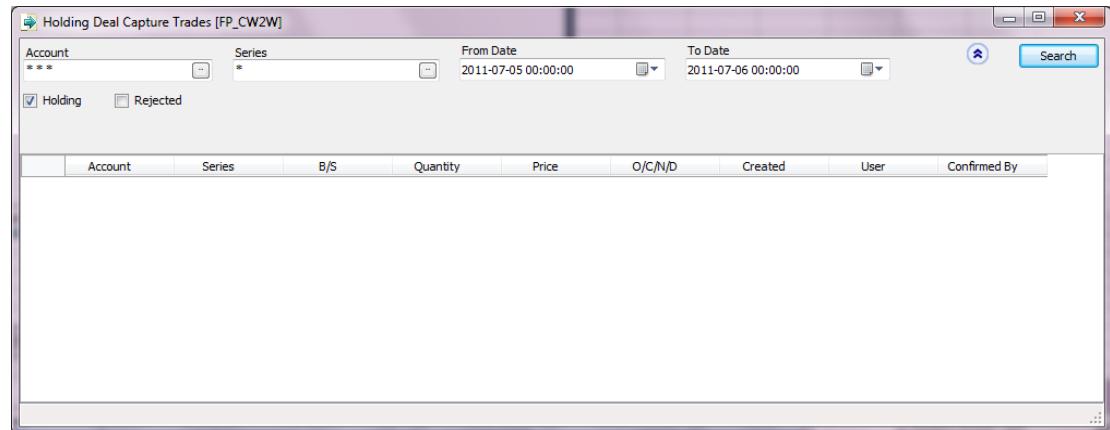
The screenshot shows the 'Trade Reporting [FP\_CW2T]' window. It contains several sections with input fields:

- Series**: Fields for 'Series' (with a red flag) and 'Currency', and a 'Create Series...' button.
- Common**: Fields for 'Price' (with a red flag), 'Quantity' (with a red flag), 'Side' (set to 'Both'), 'Type' (with a red flag), and 'Time of Agreement' (set to '2011-06-10 00:00:00').
- Buyer**: Fields for 'Participant/ Account' (with a red flag), 'Update method' (set to 'Default'), and 'Free Text'.
- Seller**: Fields for 'Participant/ Account' (with a red flag), 'Update method' (set to 'Default'), and 'Free Text'.

At the bottom right is a 'Send' button.

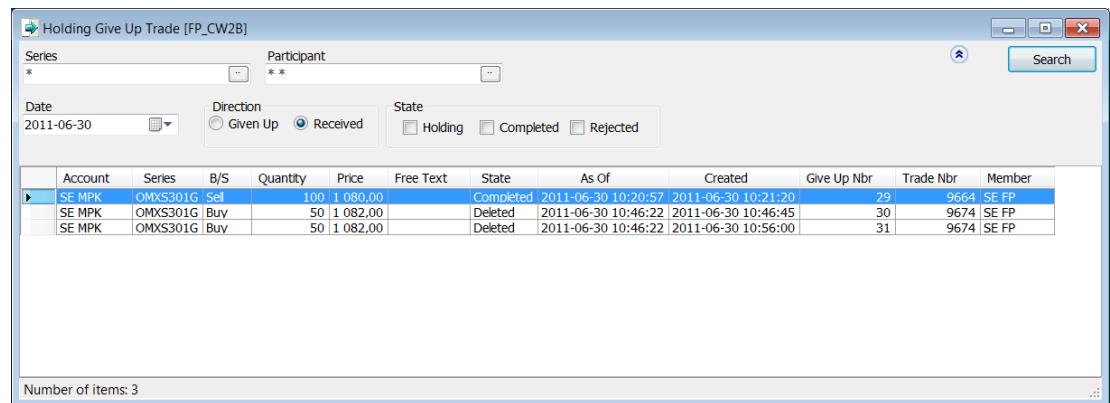
### 2.2.3 Holding Deal

In this window you can monitor your holding deals

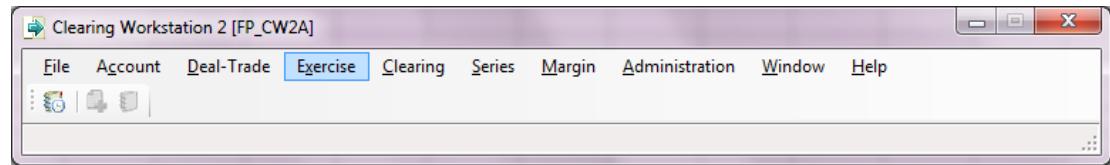


### 2.2.4 Holding Give up

In this window you can monitor your give ups.



## 2.3 Exercise

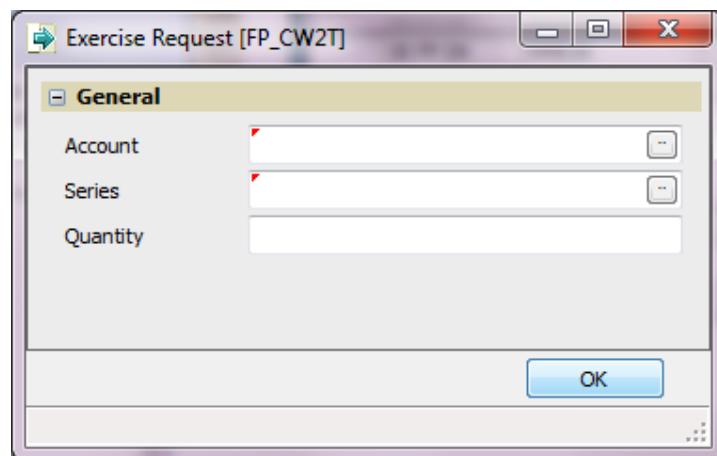


Under the menu Exercise you will find two different options;

- Exercise Request
- Pending Exercise Request

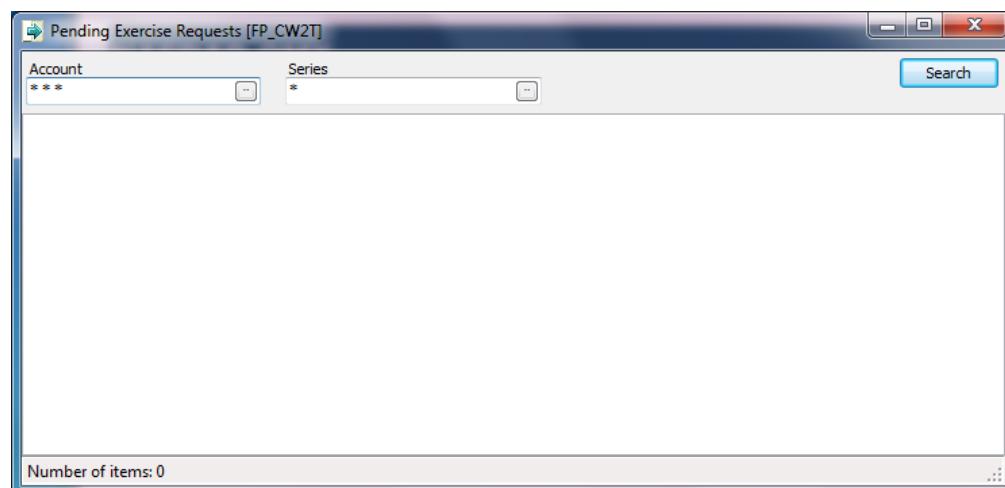
### 2.3.1 Exercise Request

Enter account and series which you want to exercise. If Quantity is not chosen the whole position will be exercised.

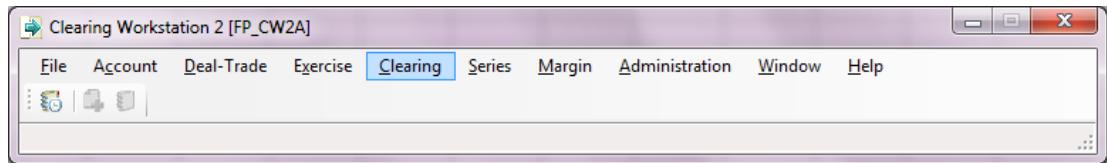


### 2.3.2 Pending Exercise Requests

Here you can monitor your Pending Exercise Requests.



## 2.4 Clearing



Under the menu Clearing you will find two different options:

- Clearing Information
- Report File

### 2.4.1 Clearing Information

Clearing information provides detailed information about the clearing transactions. It will give an overview of the trades, fees and settlement amounts.

**Account:** Enter account information. Asterisks can be used as wildcards. Press search.

**Series:** Enter the series. Leave \* for all series for the specified account.

**Delivery series:** Enter underlying for deliveries. Leave \* for all.

**From Date and To Date:** Choose From Date and To Date to narrow down the search.

Tick Settlement Date or Business Date.

The Customize button provides the option of choosing what data that will be displayed in the window. Tick desired Classes and Events. Then press OK.

A screenshot of the 'Clearing Information [FP\_CW2T]' window. The window has a title bar 'Clearing Information [FP\_CW2T]' and a standard Windows-style title bar with icons for minimize, maximize, and close. Below the title bar is a search bar with fields for 'Account' (with a dropdown arrow), 'Series' (containing an asterisk \*), and 'Delivery Series' (containing an asterisk \*). There are two radio buttons: 'Settlement Date' (selected) and 'Business Date'. Below the search bar are fields for 'From Date' (2011-06-10) and 'To date' (2011-06-10). The main area is a data grid table with the following columns: Account, Delivery Account, Series, ISIN, Contract Size, Event, Class, Event Qty, Delivery Qty, and Delivery Series. The table contains 7 rows of data. At the bottom of the window, there are summary statistics: 'Total Event Qty: 100,000000' and 'Total Delivery Qty: 141880,000000'. A note at the bottom says 'Number of items: 7'.

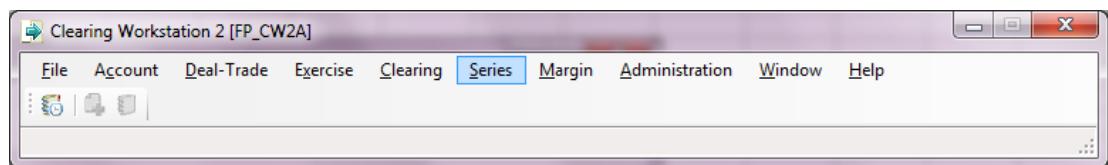
## 2.4.2 Report File

Here you will find following reports on account level in both Excel and PDF format:

- Exercise and Closing
- Forward Closing Mark to Market Fixed Income
- Forward Monthly Mark to Market Fixed Income
- Future Mark to Market
- Margin Requirements
- Trades

(For information on how to configure the reports please see section 2.7.3, Report Setup)

## 2.5 Series



### 2.5.1 Fixing Values

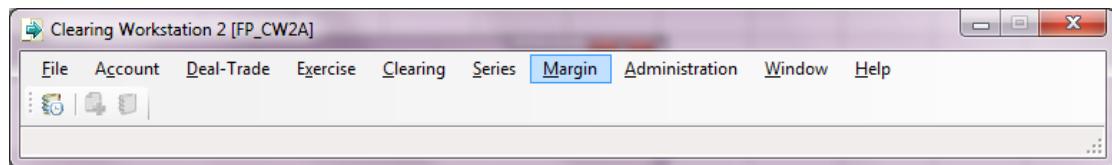
Fixing Values will provide information about fixing values of series.

**Series:** enter series or wild card.

**For Date:** enter date

The result of the search will be displayed in the window.

## 2.6 Margin



### 2.6.1 Simulate Margin

This function is used to simulate margin requirements. It is possible to calculate margin requirements for a specific account, with current prices and positions.

**Use existing positions:** Tick this box for calculation of margin requirement on the current position of the account entered in the "Account"-field.

To add positions, right click by the arrow and add desired positions to recalculate the margin requirement.

Click calculate.

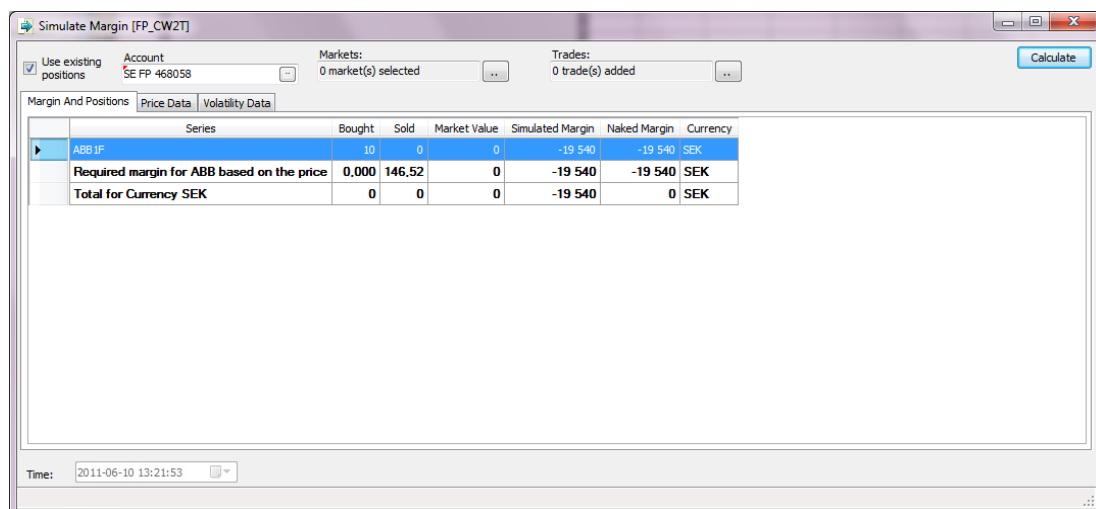
**Account:** Enter account information. Asterisks can be used as wildcards. Press search.

**Markets:** Choose markets in the list or leave "All markets", for all.

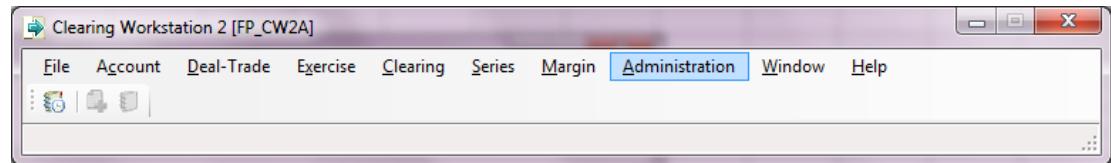
Click on the button and this dialogue will appear:

To add a market, tick the boxes on the left side of the market name. Then press OK.

Click Select all or Select None if you would like to tick all or untick all boxes.



## 2.7 Administration



Under the menu Administration you will find seven different options;

- User
- Account Access
- Report Setup
- Connection Information
- Reset Personal Settings
- Open Log file(s)
- Local Caching

### 2.7.1 Users

In the Users menu you can see all of your current users as well as create a new user or modify a user by right click on the chosen one.

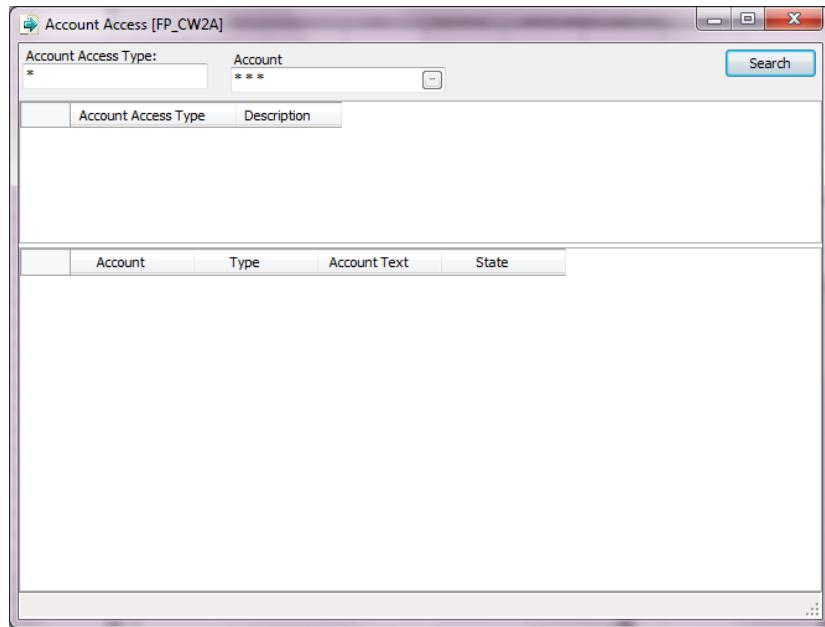
A screenshot of a "Users [FP\_CW2A]" window. The window has a title bar and a search bar. Below the search bar is a table with the following columns: User, Signature, Description, Participant, User Type, Menu Access Type, Account Access Type, and Status. The table contains the following data:

User	Signature	Description	Participant	User Type	Menu Access Type	Account Access Type	Status
FP_CW2A	CW2A	Intern Test part FP	SE FP	CW2	CW2_ADMIN	FP_ALL	Active
FP_CW2B	CW2B	Intern Test part FP	SE FP	CW2	CW2_BROKER	FP_ALL	Active
FP_CW2R	CW2R	Intern Test part FP	SE FP	CW2	CW2_CLIENT_R	FP_TRADE	Active
FP_CW2T	CW2T	Intern Test part FP	SE FP	CW2	CW2_CLIENT_T	FP_TRADE	Active
FP_CW2W	CW2W	Intern Test part FP	SE FP	CW2	CW2_CLIENT_W	FP_TRADE	Active
FP_HENRIK	HS		SE FP	CW2	CW2_CLIENT_T	FP_HENRIK	Active

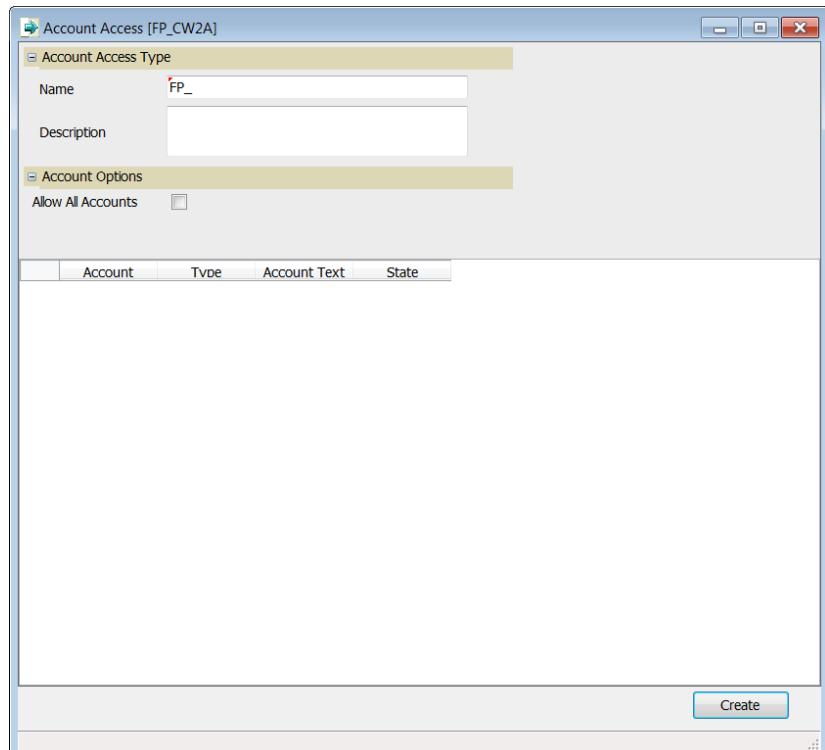
Number of items: 6

## 2.7.2 Account Access

Account Access View is an overview over the account access type. Here you set up what accounts the user should be able to see.



To create a new Account Access Type and right click in the upper empty field and a new window will appear.



Choose a name for the Account Access Type.

Description: Optional field for describing the Account Access Type.

To add accounts to the Account Access Type place the arrow in the “Accounts” field. Right click in that field and choose add and this window will appear:

Accounts [FP_CW2A]												
Account												
***												
	Account	Journal Nbr	Type	Custodian Bank	Emptied To	Modified2	Confirmation By	Created	State	Origin Acct	Fee Type	F
	SE FP 0144	94070113	TCA			2009-10-29 14:39:59			Active	CA		
	SE FP 0149	94071937	TCA			1994-11-27			Active	CA		
	SE FP 1		TCA			2011-01-24 13:07:43		2007-07-19 13:59:12	Active	CA		D
	SE FP 100396	940701199	TCA			1994-11-27			Active	CA		
	SE FP 100438	940701200	TCA			1994-11-27			Active	CA		
	SE FP 1010		TA			2009-10-30 07:43:06		2008-08-21 09:31:57	Active	CA		
	SE FP 103	940701201	TCA			2005-09-26 16:32:29			Active	CA		
	SE FP 1073	96020514	TCA			1996-02-08 09:45:35		1996-02-02 16:53:33	Active	CA		
▶	SE FP 1081	9506014	TCA			1995-06-06 11:00:54		1995-06-01 14:30:05	Active	CA		
	SE FP 10YSWAP		OT			2011-01-04 14:48:12		2011-01-04 14:48:12	Active	OT OMX		
	SE FP 10YSWAPA		OT			2011-01-07 13:29:51		2011-01-07 13:29:51	Active	OT OMX		
	SE FP 1172	940831134	TCA			1994-11-27			Active	CA		
	SE FP 12345		TCA			2008-01-08 17:12:06		2006-01-11 11:45:12	Active	CA		
	SE FP 1248	9506015	TCA			2000-03-22 15:44:49		1995-06-01 14:30:32	Active	CA		
	SE FP 2		TCA			2007-07-19 13:59:19		2007-07-19 13:59:19	Active	CA		
	SE FP 200550	9506016	TCA			1995-06-06 11:01:25		1995-06-01 14:29:53	Active	CA		
	SE FP 200568	98020912	TCA			1998-02-10 15:48:52		1998-02-09 09:19:33	Active	CA		
	SE FP 200683	94083073	TCA			1994-11-27			Active	CA		
	SE FP 200949	94120621	TCA			1994-12-09 09:50:53			Active	CA		
	SE FP 201327	94083074	TCA			1994-11-27			Active	CA		
	SE FP 201434	94111138	TCA			2000-03-22 10:10:14			Active	CA		
	SE FP 201442	94081961	TCA			1994-11-27			Active	CA		
	SE FP 201701		TCA			2000-03-27 17:52:45		2000-03-27 17:52:45	Active	CA		
	SE FP 201889	94081962	TCA			1994-11-27			Active	CA		
	SE FP 201913	94092027	TCA			1994-11-27			Active	CA		
	SE FP 201988	96011814	TCA			1996-01-22 14:16:30		1996-01-18 11:40:31	Active	CA		
	SE FP 202143	940701207	TCA			1994-11-27			Active	CA		
	SE FP 202184	940701209	TCA			1994-11-27			Active	CA		
	SE FP 202192	940701210	TCA			2009-10-29 11:15:48			Active	CA		
	SE FP 202226	940701211	TCA			1994-11-27			Active	CA		
	SE FP 202259	941102124	TCA			2000-03-17 13:45:24			Active	CA		
	SE FP 202515	94071955	TCA			1994-11-27			Active	CA		
	SE FP 202564	94083075	TCA			1994-11-27			Active	CA		
	SE FP 202739	9911298	TCA			2000-03-22 16:18:30		1999-11-26 15:54:26	Active	CA		
	SE FP 202754	940701212	TCA			1994-11-27			Active	CA		
	SE FP 202911	940701214	TCA			2010-02-15 11:05:42			Active	CA		

In Account search for:

One specific account: Enter full name with spaces between

For all accounts: Just press search

Mark the account (-s) t right click and choose “add”.

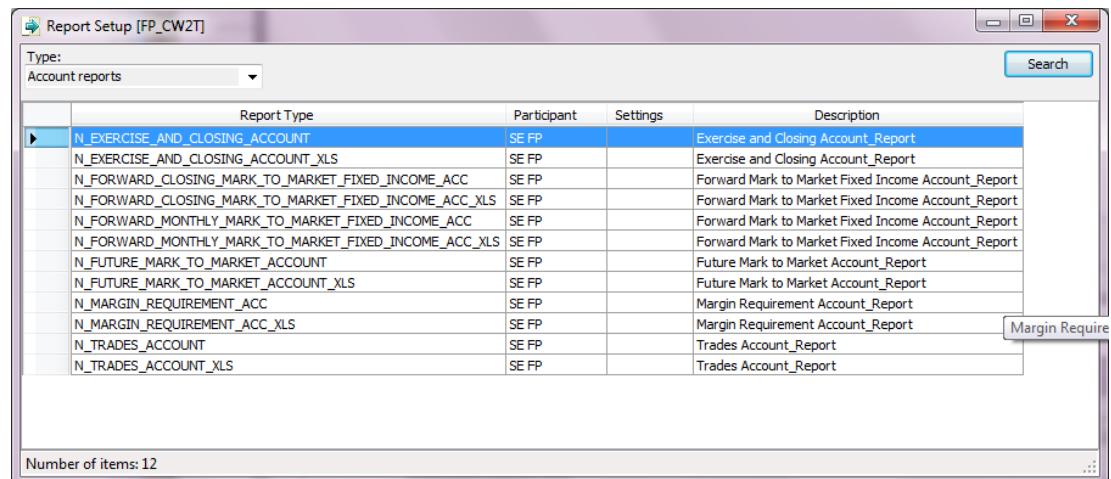
This/these account (-s) will now be the ones that the user will see.

Click Create or Update.

Account Access [FP_CW2A]												
Account Access Type:												
Account												
	Account Access Type	Description	Allow All									
	FP ALL											
	FP HENRIK											
▶	FP TRADE											
	Account	Tvbe	Account Text	State								
	SE FP 103	TCA		Active								
	SE FP 2	TCA		Active								
	SE FP 201327	TCA		Active								
	SE FP 201434	TCA		Active								
	SE FP 201701	TCA		Active								
	SE FP 201988	TCA		Active								
	SE FP 468058	TCA		Active								
	SE FP DK	DA		Active								
	SE FP IK	IA		Active								

### 2.7.3 Report Setup

In this window you will find all available reports.



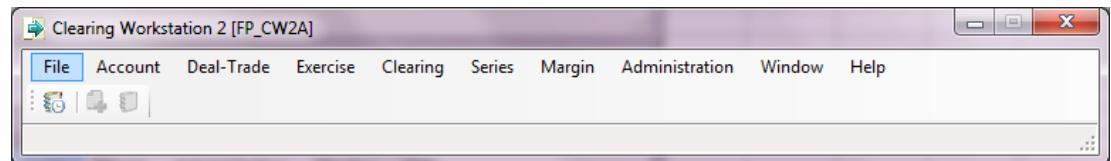
The screenshot shows a Windows application window titled "Report Setup [FP\_CW2T]". The window has a "Type:" dropdown set to "Account reports". A "Search" button is located in the top right corner. The main area is a table with columns: Report Type, Participant, Settings, and Description. The table contains 12 rows, each representing a different report type with its description. The last row, "N\_TRADES\_ACCOUNT\_XLS", has a tooltip "Margin Require" pointing to the "Settings" column. A status bar at the bottom left says "Number of items: 12".

Report Type	Participant	Settings	Description
N_EXERCISE_AND_CLOSING_ACCOUNT	SE FP		Exercise and Closing Account_Report
N_EXERCISE_AND_CLOSING_ACCOUNT_XLS	SE FP		Exercise and Closing Account_Report
N_FORWARD_CLOSING_MARK_TO_MARKET_FIXED_INCOME_ACC	SE FP		Forward Mark to Market Fixed Income Account_Report
N_FORWARD_CLOSING_MARK_TO_MARKET_FIXED_INCOME_ACC_XLS	SE FP		Forward Mark to Market Fixed Income Account_Report
N_FORWARD_MONTHLY_MARK_TO_MARKET_FIXED_INCOME_ACC	SE FP		Forward Mark to Market Fixed Income Account_Report
N_FORWARD_MONTHLY_MARK_TO_MARKET_FIXED_INCOME_ACC_XLS	SE FP		Forward Mark to Market Fixed Income Account_Report
N_FUTURE_MARK_TO_MARKET_ACCOUNT	SE FP		Future Mark to Market Account_Report
N_FUTURE_MARK_TO_MARKET_ACCOUNT_XLS	SE FP		Future Mark to Market Account_Report
N_MARGIN_REQUIREMENT_ACC	SE FP		Margin Requirement Account_Report
N_MARGIN_REQUIREMENT_ACC_XLS	SE FP		Margin Requirement Account_Report
N_TRADES_ACCOUNT	SE FP		Trades Account_Report
N_TRADES_ACCOUNT_XLS	SE FP		Trades Account_Report

You will have to add an Account Access Type to the report in order for the user to receive the report under Clearing, Report File.

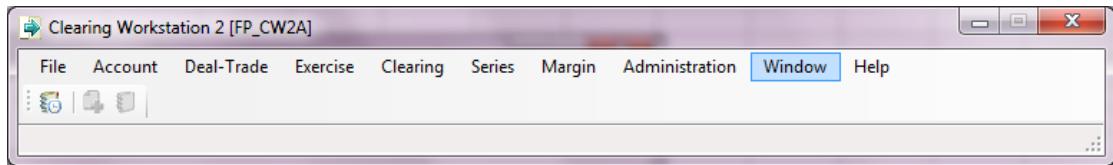
Mark a report and right click, press Modify and choose one or more Account Access Types.

### 2.8 File



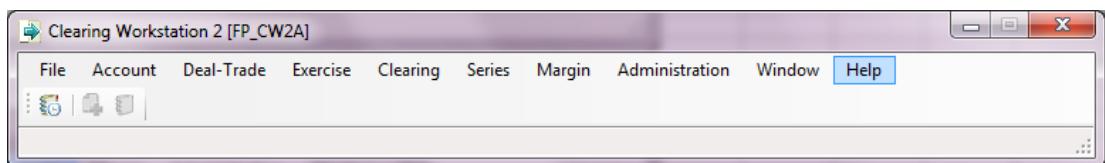
Under the menu File you can reset your password.

## 2.9 Window



Under the menu Window you can choose different window options.

## 2.10 Help



Under the menu Help you find:

- Help Index
- NASDAQ OMX Nordic website
- About Genium INET Clearing Workstation 2

If you have any questions regarding the Clearing Workstation 2, please use following contacts:

General questions	<a href="mailto:derivatives@nasdaqomx.com">derivatives@nasdaqomx.com</a>	+46 8 405 6880
User related questions	<a href="mailto:memberservices@nasdaqomx.com">memberservices@nasdaqomx.com</a>	+46 8 405 6660
Technical questions	<a href="mailto:technicalsupport@nasdaqomx.com">technicalsupport@nasdaqomx.com</a>	+46 8 405 6750



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